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Approved for use through 10/31/2002. OMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
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TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	10/088,961		
	Filing Date	September 25, 2000	
	First Named Inventor	LUO, Ying	
	Group Art Unit	Not yet assigned	
	Examiner Name	Not yet assigned	
Total Number of Pages in This Submission	29	Attorney Docket Number	021044-004810US

ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input checked="" type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input checked="" type="checkbox"/> Power of Attorney, Revocation of Power of Attorney; Statement Under 37 CFR 3.73(b) with copy of Assignment <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s)	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Return Postcard; Fee Trans. SB/17 (1 pg., 2 copies); Pet. for 3-Mo. Ext. of time (1 pg., 2 copies); Resp. to Notif. of Misg Reqmts (2pgs. 2 copies); Copy of Notif. of Misg Req. (2 pgs.); Decl (37 CFR 1.63) (2 pg.); Appl. Data Sht (3 pgs.); Revoc. of Pr. of Attor.; Pr of Attor; Stmt under 37 CFR 3.73(b) (w/copy of Assign.);
Remarks		The Commissioner is authorized to charge any additional fees to Deposit Account 20-1430.

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm and Individual name	Townsend and Townsend and Crew LLP Annette S. Parent	Reg. No. 42,058
Signature		
Date	December 23, 2002	

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231 on this date:		
Dec. 23, 2002		
Typed or printed name	Lawanna J. Baird	
Signature		Date Dec. 23, 2002

Please type a plus sign (+) inside this box → ☐

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U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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**TRANSMITTAL
FORM**

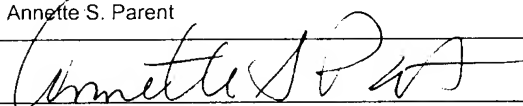
(to be used for all correspondence after initial filing)

TRANSMITTAL FORM (to be used for all correspondence after initial filing)	Application Number	10/088,961	
	Filing Date	September 25, 2000	
	First Named Inventor	LUO, Ying	
	Group Art Unit	Not yet assigned	
	Examiner Name	Not yet assigned	
Total Number of Pages in This Submission	19	Attorney Docket Number	021044-004810US

ENCLOSURES (check all that apply)

<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s)	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Return Postcard; Communication Under 37 C.F.R. 1.821-1.825 and Preliminary Amendment; Seq. Diskette; printed seq. pgs. 1-12
Remarks		The Commissioner is authorized to charge any additional fees to Deposit Account 20-1430.
Petition for Extension of Time filed with Response to Notification of Missing Requirements.		

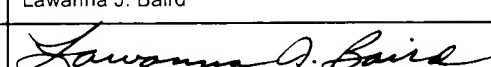
SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm and Individual name	Townsend and Townsend and Crew LLP Annette S. Parent	Reg. No. 42,058
Signature		
Date	December 23, 2002	

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231 on this date:

Dec. 23, 2002

Typed or printed name	Lawanna J. Baird	Date	Dec. 23, 2002
Signature			

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

SF 1415579 v1



10 Rows

DEC 2002

PATENT

I hereby certify that this is being [redacted] with the United States Postal Service as first class mail in an envelope addressed to:

Attorney [redacted] t No.: 021044-004810US

Commissioner for Patents
Box PCT, U.S. Patent and Trademark Offices
Washington, D.C. 20231

By

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

LUO and XU

Application No.: 10/088,961

Filed: September 25, 2000

For: TRAF4 ASSOCIATED CELL
CYCLE PROTEINS, COMPOSITIONS
AND METHODS OF USE

Examiner: Not yet assigned

Art Unit: Not yet assigned

RESPONSE TO NOTIFICATION OF
MISSING REQUIREMENTS

Attn: Box PCT
Commissioner for Patents
U.S. Patent and Trademark Office
Washington, D.C. 20231

Sir:

Pursuant to the Notification of Missing Requirements Under 35 U.S.C. 371 in the United States Designated/Elected Office (DO/EO/US), dated July 23, 2002, enclosed are the following to be made of record in the above-identified application:

- 1) Executed Declaration and Power of Attorney
- 2) Revocation of Power of Attorney, Power of Attorney and Certificate of Assignee Under 37 C.F.R. § 3.73(b)
- 3) Petition to Extend Time
- 4) Copy of Notification of Missing Requirements Under 35 U.S.C. 371 in the United States Designated/Elected Office (DO/EO/US)

Please charge Deposit Account No. 20-1430 for the following fees:

Small Entity: (a) Filing Fee (§ 1.16(a)) (Large Entity)

(b) Excess Claims Fees (§ 1.16(b), (c)):

=

=


(c) Missing Parts Surcharge 65

(d) Pet. Extension Time - Three Months 460

TOTAL FEES TO BE CHARGED 525

The Commissioner is hereby authorized to charge any additional fees associated with this paper or during the pendency of this application, or credit any overpayment, to Deposit Account No. 20-1430. This Transmittal Letter is submitted in duplicate.

Respectfully submitted,


Annette S. Parent
Reg. No. 42,058

Customer No. 20350

TOWNSEND and TOWNSEND and CREW LLP
Two Embarcadero Center, 8th Floor
San Francisco, California 94111-3834
Tel: 415-576-0200
Fax: 415 576-0300
ASP:ljb

SF 1399225 v1



DEC 30 2002

UNITED STATES PATENT AND TRADEMARK OFFICE

 Commissioner for Patents, Box PC1
 United States Patent and Trademark Office
 Washington, D.C. 20231
 www.uspto.gov

U.S. APPLICATION NUMBER NO. 10/088,961	FIRST NAMED APPLICANT Ying Luo	ATTY. DOCKET NO. A-68297-1/RMS/DHR
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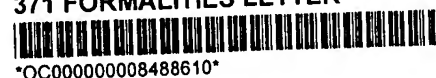
INTERNATIONAL APPLICATION NO. PCT/US00/40987

I.A. FILING DATE 09/25/2000	PRIORITY DATE 09/23/1999
--------------------------------	-----------------------------

Robin M Silva
 Flehr Hohbach Test Albritton & Herbert
 Suite 3400
 Four Embarcadero Center
 San Francisco, CA 94111-4187

CONFIRMATION NO. 4915

371 FORMALITIES LETTER



OC000000008488610

Date Mailed: 07/23/2002

NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as an Elected Office (37 CFR 1.495):

- U.S. Basic National Fees
- Indication of Small Entity Status
- Priority Document
- Copy of references cited in ISR
- Copy of the International Application
- Copy of the International Search Report
- Preliminary Amendments
- Request for Immediate Examination
- Small Entity Statement

File A-68294-1 Atty RMS/DHR
 Due Date 9/23/2002
 Type Missg Pmts Refs ---

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date.

ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTH FROM THE DATE OF THIS NOTICE OR BY 22 or 32 MONTHS (where 37 CFR 1.495 applies) FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

The following items **MUST** be furnished within the period set forth below:

- The nucleotide and/or amino acid sequence disclosure contained in this application does not comply with the requirements for such a disclosure as set forth in 37 CFR 1.821-1.825 for the following reason(s):

- This application does not contain a "Sequence Listing" as a separate part of the disclosure on paper copy or compact disc, as required by 37 CFR 1.821(c).
- A copy of the "Sequence Listing" in computer readable form has not been submitted as required by 37 CFR 1.821(e).
- APPLICANT MUST PROVIDE:
 - An initial or substitute computer readable form (CRF) of the "Sequence Listing."
 - An initial or substitute paper copy or compact disc of the "Sequence Listing," as well as an amendment directing its entry into the specification.

- For questions regarding compliance to 37 CFR 1.821-1.825 requirements, please contact:

- For Rules Interpretation, call (703) 308-4216
- To Purchase PatentIn Software, call (703) 306-2600
- For PatentIn Software Program Help, call (703) 306-4119 or e-mail at patin21help@uspto.gov or patin3help@uspto.gov

- This application does not contain a "Sequence Listing" as a separate part of the disclosure on paper copy or compact disc, as required by 37 CFR 1.821(c).
- A copy of the "Sequence Listing" in computer readable form has not been submitted as required by 37 CFR 1.821(e).

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice **MUST** be returned with the response.*

CHRISTINE S WASHINGTON

Telephone: (703) 305-3752

PART 1 - ATTORNEY/APPLICANT COPY

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
10/088,961	PCT/US00/40987	A-68297-1/RMS/DHR

**SEE TRANSMITTAL
for FY 2003**

Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT	(\$)	525
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Complete if Known

Application Number	10/088,961
Filing Date	September 25, 2000
First Named Inventor	Ying Luo
Examiner Name	
Group Art Unit	
Attorney / Docket No.	021044-004810US

METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit Card ☐ Money Order ☐ Other ☐ None

☐ Deposit Account.

Deposit
Account
Number

20-1430

Deposit
Account
Name

Townsend and Townsend and
Crew LLP

The Commissioner is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments

☐ Charge any additional fee(s) during the pendency of this application

☐ Charge fee(s) indicated below, **except for the filing fee**

FEE CALCULATION

1. BASIC FILING FEE

Large Entity		Small Entity		<u>Fee Description</u>
<u>Fee Code</u>	<u>Fee (\$)</u>	<u>Fee Code</u>	<u>Fee (\$)</u>	
1101	740	2001	370	Utility filing fee
1102	330	2002	165	Design filing fee
1103	510	2003	255	Plant filing fee
1104	740	2004	370	Reissue filing fee
1105	160	2005	80	Provisional filing fee

SUBTOTAL (1)

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

			Extra Claims		Fee from below		Fee Paid
Total Claims	<input type="text"/>	-20**	=	<input type="text"/>	x	<input type="text"/>	= <input type="text"/>
Independent Claims	<input type="text"/>	-3**	=	<input type="text"/>	x	<input type="text"/>	= <input type="text"/>
Multiple					x		= <input type="text"/>

Large Entity		Small Entity		Fee Description	
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1202	18	2202	9	Claims in excess of 20	
1201	84	2201	42	Independent claims in excess of 3	
1203	280	2203	140	Multiple dependent claim, if not paid	
1204	84	2204	42	** Reissue independent claims over original patent	
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent	

SUBTOTAL (2)

**or number previously paid, if greater For Reissues, see above

FFF CALCULATION (continued)

3 ADDITIONAL FEES

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1051	130	2051	65	Surcharge - late filing fee or oath
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet
1053	130	1053	130	Non-English specification
1812	2,520	1812	2,520	For filing a request for reexamination
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action
1251	110	2251	55	Extension for reply within first month
1252	400	2252	200	Extension for reply within second month
1253	920	2253	460	Extension for reply within third month
1254	1,440	2254	720	Extension for reply within fourth month
1255	1,960	2255	980	Extension for reply within fifth month
1401	320	1401	160	Notice of Appeal
1402	320	1402	160	Filing a brief in support of an appeal
1403	280	1403	140	Request for oral hearing
1451	1,510	1451	1,510	Petition to institute a public use proceeding
1452	110	1452	55	Petition to revive - unavoidable
1453	1,280	1453	640	Petition to revive - unintentional
1501	1,280	2501	640	Utility issue fee (or reissue)
1502	460	2502	230	Design issue fee
1503	620	2503	310	Plant issue fee
1460	130	1460	130	Petitions to the Commissioner
1807	50	1807	50	Petitions related to provisional applications
1806	180	1806	180	Submission of Information Disclosure Stmt
8021	40	8021	40	Recording each patent assignment per property (times number of properties)
1809	740	2809	370	Filing a submission after final rejection (37 CFR § 1.129(a))
1810	740	2810	370	For each additional invention to be examined (37 CFR § 1.129(b))
1801	740	2801	370	Request for Continued Examination (RCE)
1902	900	1802	900	Request for expedited examination of a design application

Other fee (specify):

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\$525)

Complete (if applicable)

SUBMITTED BY

Name (Print/Type)

Annette S Parent

Registration No. (Attorney/Agent)

42,058

Telephone _____

415-576-0200

Signature

Date _____

December 23, 2002

WARNING Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DC NOT SEND FORMS OR COMPLETED FORMS TO THIS ADDRESS. SEND TO Assistant Commissioner for Patents, Washington, DC 20231 SF 1399291 v1